



NC-TOPPS Implementation SFY 2008-2009

North Carolina - Treatment Outcomes and
Program Performance System
(NC-TOPPS)

NC-TOPPS

The web-based NC-TOPPS was implemented statewide in July 2005 for adults and children ages 6 years and above who have...

- been formally admitted to the LME by having an open record number with a unique LME-assigned Consumer Record Number
- begun receiving mental health and/or substance abuse services from a publicly-funded source (such as State funds, Medicaid funds, etc.)

Consumers Receiving Services Funded Through IPRS Only or Both IPRS and Medicaid

Requirements

- NC-TOPPS Interviews are required for all adults and children ages 6 years and above who are receiving any qualifying service for any mental health and/or substance abuse issues.

Consumers Receiving Services Funded Through IPRS Only or Both IPRS and Medicaid

Exceptions

- NC-TOPPS Interviews are not required for consumers receiving only one or more of the following services:
 - Mental Health outpatient therapy or medication management (**NOTE: Substance Abuse outpatient services require NC-TOPPS participation.**)
 - Crisis services (social setting detoxification, non-hospital medical detoxification, mobile crisis, facility-based crisis program, local inpatient crisis services, or respite)
 - Psychiatric inpatient hospitalization services
 - Developmental disability services and supports

Consumers Receiving Only Medicaid-Funded Services

Requirements

- NC-TOPPS Interviews are required for all adults and children ages 6 years and above who are receiving any qualifying service for any mental health and/or substance abuse issues

Consumers Receiving Only Medicaid-Funded Services

Exceptions

- NC-TOPPS Interviews are not required for consumers receiving only one or more of the following services:
 - Unmanaged outpatient therapy and/or medication management (8 visits for adults; 26 visits for children), including authorized extensions to these services
 - Crisis services (social setting detoxification, non-hospital medical detoxification, mobile crisis, facility-based crisis program, local inpatient crisis services, or respite)
 - Psychiatric inpatient services
 - Developmental disability services and supports

Consumers Receiving Developmental Disability (DD) Services and Supports and MH and/or SA

Requirements

- NC-TOPPS Interviews are required for consumers who receive DD services and supports as well as MH and/or SA services only when the services are predominantly either MH or SA. The LME will determine whether the NC-TOPPS is appropriate for each MH/DD or SA/DD consumer.

Exceptions

- Consumers in the Mental Retardation/ Mental Illness (ADMRI) target population are not required to have NC-TOPPS Interviews.

QP Enrollment

Obtaining a User Login and Password

First Time Users:

- Go to <http://www.ncdhhs.gov/mhddsas/nc-topps/> and click on "User Enrollment."
- Information Needed:
 - QP name and email address
 - LME Name and LME Code
 - Provider Agency Name and Address

***NC-TOPPS staff will send the User Login and Password to the QP's email address within 2-4 business days.

QP Enrollment

QPs adding or changing LMEs and/or providers:

- Go to <http://www.ncdhhs.gov/mhddsas/nc-topps> and click on "User Enrollment." The QP will then select from various options and submit the appropriate information.

***NC-TOPPS staff will send the User Login and Password to the QP's email address within 2-4 business days.

NOTE: QPs who do not login for more than 90 days will need to contact Jaclyn Johnson or Kathryn Long to renew their access to the system

Online User Agreement

- QPs who enroll in NC-TOPPS must sign an online statement that they are authorized by their provider agency to be an NC-TOPPS user and that they agree to maintain the confidentiality of all consumers' PHI. New and current users will be prompted to sign this agreement when they log into the system.

Superusers

What is a Superuser?

Superusers are individuals who have oversight responsibilities for their LME and/or provider agency.

Capabilities

- Track all interviews submitted in the past 3 months
- Change a consumer from one QP to another
- Print Interview Report (use this to reprint an interview that has already been completed and submitted)
- Tracking report for Updates due
- List of QPs and their ID's for which they have access
- Tracking of incomplete interviews
- Access to data queries

Superuser Authorization

- Individuals who request to be a superuser will need to provide information verifying that they have authorization.
- Information needed for this authorization will include: supervisor name, title, phone number, and email address.

Responsibility for NC-TOPPS Completion

- The QP in the primary provider agency that completes the PCP/treatment plan is responsible for ensuring that NC-TOPPS Interviews are submitted. Having the consumer present for an Interview is expected. Copies of all completed NC-TOPPS Interviews must be included in the consumer's service record.
- When the consumer's primary provider agency changes, the QP at the new primary provider agency must notify the LME so that the LME superuser can change the consumer's NC-TOPPS submissions to the new primary provider agency's QP.

NC-TOPPS Interviews

- Provide information to improve each individual's service needs and outcomes
- Support LMEs in monitoring services
- Provide data for meeting federal performance and outcome measurement requirements.

Episode of Care

- An episode of care is defined as the period that begins with the initiation of services and ends with the termination of services or with a lapse in services of more than 60 days. An individual who returns to services after 60 days with no services begins a new episode of care.

Time Frames

Initial Interview

- An Initial Interview must be completed with the consumer in an in-person interview at the beginning of an episode of care. This interview should be completed during the first or second service visit as part of the development of the Introductory PCP/ treatment plan. The Initial Interview should not be completed prior to the consumer's formal date of admission to the LME.

Time Frames

Update Interview

- An Update Interview should be completed with the consumer in an in-person interview. An Update Interview must be completed within two weeks prior or two weeks after the appropriate Update is due. The timing of the Update is based on the day the Initial Interview was started on the web-based system.
 - 3-Month Update – Completed 90 days following Initial Interview, plus or minus two weeks.
 - 6-Month Update – Completed 180 days following Initial Interview, plus or minus two weeks.
 - 12-Month Update – Completed 360 days following Initial Interview, plus or minus two weeks.
 - Other bi-annual update (18, 24, 30, etc. months) – Example: An 18-month Update should be completed 6 months after the 12 month Update is completed, plus or minus two weeks.

Time Frames

Episode Completion Interview

Interviews must be submitted when a consumer has...

- successfully completed treatment (QP should conduct an in-person interview with consumer just prior to the end of services)
- been discharged at program initiative
- refused treatment
- not received any services for 60 days (For the item asking the reason for the Episode Completion, the QP would check "Did not return as scheduled within 60 days.")
- changed to services not required for NC-TOPPS (For the item asking the reason for the Episode Completion, the QP would check "Changed to services not required for NC-TOPPS.")
- moved out of area or changed to different LME
- been incarcerated or institutionalized
- died

Lapse In Care

- If the primary provider agency does not see the consumer for 60 days or more without notification of the reason from the consumer or LME, the current QP should contact the consumer's LME to find out if the consumer has moved to another provider agency. If no other primary provider agency has been assigned to provide services, the current QP should complete an Episode Completion Interview.

Change In a Consumer's Primary Provider Agency

- When a consumer leaves their primary provider agency, the responsibilities of that primary provider agency depend on whether the consumer is:
 - 1) continuing services at a new primary provider agency or
 - 2) discontinuing services all together.

Change In a Consumer's Primary Provider Agency

- 1) If consumer is continuing services at a new primary provider agency...
 - New QP should contact the LME
 - LME Superuser changes the consumer's submissions to the new QP/provider agency
 - New QP/provider agency continues with Updates and the schedule established by the previous agency.

Change In a Consumer's Primary Provider Agency

- 2) If consumer is discontinuing services all together...
 - The current QP should complete an Episode Completion Interview

Printable Interviews

- For QPs who provide services/treatment at a location where internet access is not available, printable versions are available at <http://www.ncdhhs.gov/mhddsas/nc-topps/systemusers.htm> under “Printable Versions of Interviews.” This information must then be entered into the web based system.

Online Features

- Training Version Available
 - Under login page enter training for ID and training for Password
- Tracking report for Updates due
- Superuser capabilities

NC-TOPPS Expectations

- If a consumer refuses to participate in the interview, the QP is responsible for submitting the interviews using clinical records/notes to complete the tool. Since outcomes are required at both the State and Federal level, NC-TOPPS is required for all eligible consumers.
- Consumer consent to submit information to the Division of DD/MH/SAS and its contractors (i.e. NCSU) is not necessary. The P & E exemption for both HIPAA and 42 CFR applies for NC-TOPPS.

Data Confidentiality

- Confidentiality of consumer-identifying information is protected under North Carolina laws and Federal regulations 42 CFR Part 2 and the Health Insurance Portability and Accountability Act (HIPAA), 45 CFR Parts 160 and 164. Consumer-identifying information is only shared with individuals with a legal right to the information. Consumers may have access to their NC-TOPPS information upon request.
- NC-TOPPS falls under the “audit or evaluation exception” of the federal laws cited above. This clause allows collection and sharing of consumer-identifying information with state or local government agencies for the purpose of evaluating the quality and effectiveness of services. Consumers must be informed of this by including NC-TOPPS on the Notice of Privacy to consumers in accordance with HIPAA regulations.

Data Confidentiality

Authorization (Consumer Consent) to Release Information For Care Coordination:

- The federal laws noted above require the provider agency to obtain **explicit** consent from a consumer before sharing any PHI, including NC-TOPPS data, with other provider agencies for the purpose of *coordinating care* for a specific individual. This requirement includes obtaining written consent to share consumers' PHI with an LME, as well as with other MH/DD/SAS provider agencies or primary medical care providers, for this purpose.
- The primary provider agency may only share a consumer's PHI with those provider agencies explicitly named on the signed consent form.
- The consent form must be renewed at least annually. An example of a consent form, "Authorization for Release of Confidential Information," can be found on the DMH/DD/SAS website at <http://www.ncdhhs.gov/mhddsas/statpublications/manualsforms/index.htm#forms>.

NC-TOPPS Web Submission Technical Requirements

- Secure web access at the desktop level for participating QPs.
- Minimum browser capability and encryption: Internet Explorer 5.1 or greater OR Netscape 4.7 or greater
- 128 Bit SSC (Encryption)
- Bandwidth should be a DSL or an ISDN Line (can work with dial up, but will be slower)
- Each browser must have Cookies and Java Script enabled.

Related Announcements on Division Web Page

- Communication Bulletin

<http://www.ncdhhs.gov/mhddsas/announce/index.htm>

- Person Centeredness

<http://www.dhhs.state.nc.us/mhddsas/pcp.htm>

Help Desk Support

Center for Urban Affairs and Community Services-
NC State University

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- NC-TOPPS web site:
<http://www.ncdhhs.gov/mhddsas/nc-topps/>
- NC DMH/DD/SAS web site:
<http://www.dhhs.state.nc.us/mhddsas/>